

**AGENCY:** U.S. Environmental Protection Agency (EPA), Region 2, Division of Environmental Planning and Protection

**TITLE:** Raritan River Initiative

**ACTION:** Request for Applications (RFA)

**RFA NUMBER:** EPA-R2-DEPP-12-01

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO:** 66.436

**DATES:** The closing date and time for receipt of application submissions, regardless of mode of submission, is April 23rd 2012, 5:00 PM Eastern Time (ET). Applications received after the closing date and time will not be considered for funding.

EPA anticipates notification to the successful applicant will be made via telephone, email or postal mail. The notification will advise the applicant that its proposed project has been recommended for award. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance. This notification is **not** an authorization to begin performance. The award notice signed by the EPA Award Official is the authorizing document and will be provided through email. This process can take up to 90 days from the date of recommendation, or longer depending on the organization selected and other circumstances.

**Note to Applicants:** If you name subawardees/subgrantees and/or contractor(s) in your application to assist you with the proposed project, pay careful attention to the information in Section IV.E, Contracts and Subawards.

## **SUMMARY:**

The U.S. Environmental Protection Agency (EPA) is soliciting applications for projects that will contribute to an improved understanding of pollution sources that are potentially impacting Raritan River basin water quality. With support from the Raritan River Initiative, the selected applicant will develop a study of contaminated sites and pollution sources, with the aim of providing information to the public, as well as federal, state, local and non-profit organizations. Based upon information from this study, the selected applicant will identify pollution sites and sources of greatest concern. The identification of these priority sites could be used by stakeholders to make environmental decisions.

The funding provided under this announcement supports the following goals of the Fiscal Year (FY) 2011 – 2015 EPA Strategic Plan: Goal 2: Protecting Americas Waters, Objective 2.2: Protect and Restore Watershed and Aquatic Ecosystems. Information on the FY 2011 – 2015 EPA Strategic Plan is available at <http://www.epa.gov/planandbudget/strategicplan.html>.

## **FUNDING/AWARDS**

The total estimated funding for this competitive opportunity is \$100,000. EPA anticipates awarding one cooperative agreement from this announcement, subject to availability of funds, the quality of applications received, and other applicable considerations.

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## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. Background**

The Raritan River and surrounding watershed is home to over one million people, providing drinking water, transportation and recreation opportunities and important habitat for wildlife. The watershed is also impacted by many sources of pollution, including Superfund, Brownfield and RCRA sites as well as other point and non-point sources. These sites and sources of contamination have groundwater and surface water impacts, threaten local biodiversity and limit recreation opportunities. Currently, the suite of data collected in the Raritan River watershed is fragmented and inconsistent. While some data is regularly updated and available online, other data sets lack associated metadata, remain unpublished or are located in databases that are difficult to access. The Raritan River Initiative will support the creation of a comprehensive study of existing data, which could enable stakeholders to identify data gaps, plan future research and make other environmental decisions.

### **B. Scope of Work**

The goal of the Raritan River Initiative being competed under this opportunity is to fund one project that will study sites and identify sources of pollution that are potentially impacting the lower and middle Raritan River. The selected applicant may compile data from sites and sources including the list found in this section as well as other sources of data the applicant deems important. This study should build upon ongoing data management efforts rather than duplicate work that has already been completed. Applicants should consult Raritan-related data projects that have been compiled by the National Oceanic and Atmospheric Administration (NOAA) (accessible from <http://response.restoration.noaa.gov/querymanager>) and any other relevant resources with which the applicant may be familiar. The successful applicant will incorporate this data with information gathered from EPA, the New Jersey Department of Environmental Protection (NJDEP), municipalities in the Raritan watershed, universities, NGOs and other groups that may have engaged in sampling work.

Using the information compiled in this study, and in consultation with EPA, the selected applicant will identify a list of sites and sources of greatest concern, which could potentially be used by state agencies, county and local governments and non-profits to guide environmental

decisions. These sites and sources may include but are not limited to:

- a) known contaminated sites,
- b) point sources, including wastewater treatment plants, landfills and industrial areas, and/or
- c) non-point sources, including storm water, agricultural runoff, lawn care products, and urban development.

Please note that because the project involves the collection, compilation, analysis or manipulation of environmental data it therefore will require a Quality Assurance Project Plan (QAPP). Please see section VII.A for more information.

In order to achieve the objectives of the program, applications should address the following elements:

*1. Leads to a comprehensive understanding of the sources of pollution in the Raritan River Basin*

a. Compilation of existing information

Applications should demonstrate familiarity with the Raritan River Basin and existing information about potential pollution sources, industrial sites, treatment plants, and other point and non-point sources. Applicants should include a list of existing sources of information they plan to consult when developing the study. The selected applicant will ensure that the project is not duplicative and builds upon existing work.

b. Identification of data gaps

In the course of developing the study and site selection methodology, the selected applicant may discover data gaps and areas that require additional study. Along with the study and critical site identification, the recipient will also provide a summary of data gaps and, if possible, make recommendations for future research needed to close those gaps.

c. Development of a pollution study

Applicants should describe the process they will use to develop the site and source study, the conceptual and logical design of the repository as a database and the method(s) they will use to make the information available to outside parties (e.g. website with mapping tools, CD/DVD with free mapping and report application). Applicants should explain how the chosen media are best suited to achieve project goals and serve stakeholders. Applicants proposing the use of Geographical Information System (GIS) technology should consult Section VIII.D. The recipient should expect to work with EPA staff to refine and finalize the plan for study development.

d. Development of site selection methodology

Applicants should propose a methodology for identifying sites and sources of greatest concern, based on their relative impact on the Raritan River. Applicants should describe why the proposed methodology was chosen and how the selected tools are best suited to achieve the project goals. Based on data compiled by the study and using the site selection methodology, the selected applicant will identify high priority sites, which could be ranked in order of greatest impact. The successful applicant should expect to consult with EPA staff to

refine and finalize the methodology although the recipient rather than EPA will make the final decision on the methodology.

e. Success potential/feasibility

Applicants should describe how the proposed project uses an effective approach to compiling and presenting information about sources of pollution. The description should discuss the readiness of the project and the project's success potential or feasibility.

## *2. Develops and Builds Watershed Partnerships*

Applicants should identify appropriate and necessary partnerships to successfully conduct the project. Partnerships between organizations focused on water quality, habitat protection, hazardous sites, recreation and other community priorities can benefit from one another's experience. In their applications, applicants should demonstrate their ability to identify appropriate and necessary partnerships to successfully conduct the project including how they plan to conduct outreach to organizations, communities and individuals with an interest in utilizing the study. Some examples of key partners include local residents, local industries, academic institutions, non-profit organizations, communities surrounding the river basin, and other suitable partners that work on watershed issues. Applicants should carefully review Section IV.E, Contracts and Subawards before naming project partners who will receive funding if the application is successful.

If a working partnership already exists or is under development, the application should identify all parties involved, as well as provide a clear description of the roles of each partner in the project's components/tasks and how each partner will contribute to the success of the project. If a working partnership exists, partnership letters of commitment should be included in the application package. Letters of commitment should describe the extent to which the partner will engage with the applicant to help effectively perform the project. If a partnership does not yet exist, applications should describe how the applicant plans to engage partners and establish working partnerships to successfully complete the project. If the applicant does not intend to have partners, then an explanation should be provided on how it will effectively perform the project without partners. Please do not send letters of endorsement, recommendation, or support in addition to these letters of commitment; they will not be considered.

Applicants may propose a partnership with organizations already engaged in collecting and compiling data on the Raritan River watershed. If so, the applicant should explain how funding will be used to build upon existing work and avoid duplication of efforts.

## *3. Provide Benefits to Community and Interested Organizations*

The study and priority site list developed by the selected project may be used by the public for educational purposes and by organizations to make planning decisions. Applications should address how the project will ensure that the public can utilize the project data, study and priority site list. This means ensuring access for all populations, including minority, low income and tribal populations, and organizations that may be adversely impacted by the Raritan River Basin's water pollution issues. Please note that, as a condition of receiving EPA funding, the

successful applicant must agree to make all study and site selection data publicly accessible and standardized in non-proprietary format with associated metadata. GIS layers should be able to be converted to a viewable and downloadable format, with associated shapefiles and metadata. Attribute data should be downloadable in Excel, CSV, or another widely available format. Please see Section VIII.D for more information.

Applications should discuss:

- a. Longevity  
Applicants should describe how the project deliverables (e.g. interactive website, online database) will remain current beyond the life of the project period. Applicants should note their ability to sustain and host the deliverables in the long term. If applicants or their partners are unable to host the deliverables, the application should provide a realistic estimate of how long they will be hosted and a plan to ensure they can be reused or combined with subsequent efforts.
- b. Accessibility  
Applicants should explain how project information would be made available to individuals and communities that may have limited technical capacity, limited access to computers and internet or lack a substantial understanding of scientific and environmental issues.
- c. Environmental Justice  
Applications should address how the project will benefit the public, including minority, low income and tribal populations, and organizations that may be adversely impacted by the Raritan River Basin's water pollution issues and that have an interest in utilizing the project data, study and priority site list.

## **C. EPA Strategic Plan Linkage & Anticipated Outcomes, Outputs & Performance Measures**

### **1. Linkage to EPA Strategic Plan**

All applications must support EPA Strategic Plan Goal 2

Goal 2: Protecting Americas Waters, Objective 2.2: Protect and Restore Watershed and Aquatic Ecosystems which states, “Protect the quality of rivers, lakes, streams, and wetlands on a watershed basis, and protect urban, coastal, and ocean waters”. All proposed projects should demonstrate the linkage to the EPA Strategic Plan. Information on the FY 2011 – 2015 EPA Strategic Plan is available at <http://www.epa.gov/planandbudget/strategicplan.html>.

### **2. Outputs**

All proposed projects should include specific statements describing the environmental results of the proposed project in terms of well-defined outputs and, to the maximum extent practicable, well-defined outcomes that will demonstrate how the project will contribute to the overall goals listed above.

Environmental results are a way to gauge a project’s performance and are described in terms of outputs and outcomes. Environmental outputs (or deliverables) refer to an environmental

activity, effort, and/or associated work product related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative, but must be measurable during a cooperative agreement funding period. Examples of anticipated environmental outputs from the cooperative agreement to be awarded under this announcement include, but are not limited to:

- Number of educational presentations to residents, businesses, universities, NGOs and local/state officials conducted to improve understanding of sources of local water pollution
- Number of site visits to online study and/or priority site listing
- Number GIS layers created to visually demonstrate the location and type of pollution source in the basin
- Number of downloads and requests for GIS layers, data and other technical information by interested groups and individuals
- Number of media stories (newspaper, television, social media campaigns) that are published as a result of the project.

Progress reports and a final report will also be a required output, as specified in Section VI.D of this announcement, “Reporting Requirement.”

### **3. Outcomes**

Environmental outcomes are the result, effect, or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective, and are used as a way to gauge a project’s performance and take the form of outcome measures. Outcomes may be environmental, behavioral, health-related, or programmatic in nature. Outcomes must be qualitative and/or quantitative and may not necessarily be achieved within a cooperative agreement funding period. Outcomes may be short-term (changes in learning, knowledge, attitude, skills), intermediate (changes in behavior, practice, or decisions), or long-term (changes in condition of the natural resource). Examples of anticipated outcomes from the cooperative agreements to be awarded under this announcement include, but are not limited to:

- Knowledge and awareness of baseline conditions are established, areas of concern are identified, and results are communicated to help educate community decision makers, residents and state and federal agencies
- Community interest in protecting the Raritan River Basin increases
- As a result of the study development, non-profits and government organizations work together to identify common goals and joint strategies

As part of the Proposal Narrative, an applicant will be required to describe how the project results will link the outcomes the Agency’s Strategic Plan.

### **4. Performance Measures**

The applicant should also develop performance measures they expect to achieve through the proposed activities and describe them in the application. These performance measures will help gather insights and will be the mechanism to track progress concerning successful process and outcome strategies and will provide the basis for developing lessons to inform future recipients.

The following are questions to consider when developing output and outcome measures of quantitative and qualitative results:

- i) What are the measurable short term and longer term results the project will achieve?
- ii) How does the plan measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

#### **D. Statutory Authority**

The statutory authority for the cooperative agreements to be funded under this announcement is Section 104(b)(3) of the CWA, 33 USC §1254(b)(3). CWA Section 104(b)(3) restricts the use of these cooperative agreements to the following: conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Projects that are demonstrations must involve new or experimental technologies, methods, or approaches. EPA expects that the results of the project will be disseminated so that others can benefit from the knowledge gained in the demonstration project. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. For applications that include demonstration projects, the applicant must describe how the project meets the above requirements. Implementation projects are not eligible for funding under this announcement, 33 USC §1254(b)(3).

## **II. AWARD INFORMATION**

#### **A. What is the amount of funding available?**

The total estimated funding expected to be available for awards under this competitive opportunity is \$100,000.

#### **B. How many agreements will EPA award in this competition?**

EPA anticipates awarding one cooperative agreement under this announcement of \$100,000 subject to the availability of funds, quality of evaluated applications, and other applicable considerations. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy and guidance, if additional funding becomes available after the original selections are made. Any additional selections for awards will be made no later than six months after the original selection decisions.

In appropriate circumstances, EPA reserves the right to partially fund proposals/applications by funding discrete portions or phases of proposed projects. If EPA decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.

#### **C. What is the project period for awards resulting from this solicitation?**

The estimated project period for awards resulting from this solicitation will begin in July 2012. Proposed project periods may be up to 2 years.

#### **D. Funding Type**

It is anticipated that one cooperative agreement will be funded under this announcement. When a cooperative agreement is awarded, EPA will have substantial involvement with the project workplans and budget. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement for a project selected may include:

1. Close monitoring of the recipient's performance to verify the results proposed by the applicant;
2. Collaboration during the performance of the scope of work;
3. In accordance with the applicable regulations at 40 CFR Parts 30.44(e) and 31.36(g), review of proposed procurements;
4. Review of qualifications of key personnel (EPA does not have authority to select employees or contractors employed by the recipient);
5. Review and comment on tasks/deliverables and reports prepared under the cooperative agreement(s) (the final decision on the content of these reports rests with the recipient); and
6. Upon request by the recipient and subject to the availability of personnel, EPA will provide the recipient with access to EPA scientific expertise, sampling protocols, publicly available data, and other forms of technical assistance.

### **III. ELIGIBILITY INFORMATION**

#### **A. Eligible Entities**

In accordance with CFDA 66.436, applications will be accepted from states, local governments, territories, Indian tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, intertribal consortia, interstate agencies and other public or private non-profit institutions.

- Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative or other organization that: (1) is operated primarily for scientific, educational, service, charitable or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve and/or expand its operations. For-profit organizations are not eligible for this funding opportunity. Additionally, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Non-profit organizations may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122, now at 2 CFR Part 230. The OMB Circular A-122 is available at [http://www.whitehouse.gov/omb/circulars\\_a122\\_2004/](http://www.whitehouse.gov/omb/circulars_a122_2004/).
- Interstate agencies may be asked to provide a citation to the statutory authority, which establishes their status. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial



powers or duties pertaining to the control of pollution as determined and approved by the Administrator.”

- An intertribal consortium is a partnership between two or more tribes that is authorized by the governing bodies of those tribes to apply for and receive assistance (see 40 CFR 35.502.). The intertribal consortium is eligible only if the consortium demonstrates that all of its members meet the eligibility requirements and authorize the consortium to apply for and receive assistance in accordance with 40 CFR 35.504 at the time of application submission. An intertribal consortium must submit with its application to EPA adequate documentation of the existence of the partnership and the authorization of the consortium by its members to apply for and receive the grant (see 40 CFR 35.504.).

## **B. Cost Sharing or Matching**

**No matching funds are required under this competition.** Although cost-sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate applications based on a leveraging criterion. Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA grant funds awarded. Any leveraged funds/resources, and their source, must be identified in the application (See Section IV of the announcement). Leveraged funds and resources may take various forms as noted below.

**Voluntary cost share** is a form of leveraging. Voluntary cost sharing is when an applicant voluntarily proposes to legally commit to provide costs or contributions to support the project when a cost share is not required. Applicants who propose to use a voluntary cost share **must** include the costs or contributions for the voluntary cost share in the project budget on the SF-424. If an applicant proposes a voluntary cost share, the following apply:

- A voluntary cost share is subject to the match provisions in the grant regulations (40 CFR 30.23 or 40 CFR 31.24, as applicable).
- A voluntary cost share may only be met with eligible and allowable costs.
- The recipient may not use other sources of federal funds to meet a voluntary cost share unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost share requirement on a federal grant.
- The recipient is legally obligated to meet any proposed voluntary cost share that is included in the approved project budget. If the proposed voluntary cost share does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 40 CFR Parts 30 or 31 as applicable.

Other leveraged funding/resources that are not identified as a voluntary cost share-this form of leveraging may be met by funding from another federal grant, from an applicant's own resources, or resources from other third party sources. This form of leveraging should not be included in the budget and the costs need not be eligible and allowable project costs under the EPA assistance agreement. While this form of leveraging should not be included in the budget, the grant workplan should include a statement indicating that the applicant is expected to produce the proposed leveraging consistent with the terms of the announcement and the applicant's submission. If applicants propose to provide this form of leveraging, EPA expects them to make

the effort to secure the leveraged resources described in their applications. If the proposed leveraging does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 40 CFR Parts 30 or 31 as applicable.

### **C. Threshold Eligibility Criteria**

1. These are requirements that if not met by the time of application submission will result in elimination of the application from consideration for funding. Only applications from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

- a. Applications must substantially comply with the application submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. Where a page limit is expressed in Section IV with respect to the narrative application, pages in excess of the page limitation will not be reviewed.
  - b. All or substantially all of the applicant's proposed activities must be eligible for funding under CWA 104(b)(3). Please see section I.D on Statutory Authority for more information.
  - c. In addition, applications must be received by EPA Region 2 or through [www.grants.gov](http://www.grants.gov), as specified in Section IV of this announcement, on or before the application submission deadline published in Section IV of this announcement. Applicants are responsible for ensuring that their application reaches the designated person/office specified in Section IV of the announcement by the submission deadline.
  - d. Applications received after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with [www.grants.gov](http://www.grants.gov). Applicants should confirm receipt of their application with the EPA Region 2 contact listed in Section IV.B.1 as soon as possible after the submission deadline—failure to do so may result in your application not being reviewed.
2. Applications must support EPA Strategic Plan Goal 2, ‘Protecting America’s Waters’. (*See Section I*)
  3. If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. How to Obtain Application Forms**

Applicants can download individual grant application forms from EPA's Region 2 Grants web site at <http://www.epa.gov/region2/grants/kit.htm> (for e-mail or hard copy submissions only). To obtain a hard copy of materials, please send an email or written request to the Agency contact listed in Section VII of this announcement. Applicants may also submit materials through Grants.gov (<http://www.grants.gov>). Please see section IV.3 below for more information.

## **B. Mode of Application Submission**

Applicants have the following options to submit their applications: 1) Hard copy by express delivery service to the specified EPA contact below, 2) via e-mail to the specified EPA contact below, or 3) electronically through [www.grants.gov](http://www.grants.gov) as explained in Appendix A. Applications will not be accepted via fax or standard First Class Mail delivery by the U.S. Postal Service. All applications must be prepared, and include the information, as described below in Section IV.C "Content of Proposal," regardless of mode of transmission. Only **one** mode of submission should be chosen by applicants.

### **1. Hard Copy Application Submission**

Please provide one original of the proposal package (including signed and completed SF 424 and SF 424A forms) --**no binders or spiral binding**--to:

USEPA Region 2 Division of Environmental Planning and Protection  
290 Broadway  
New York, NY 10007  
Attn: Alyssa Arcaya  
Phone: 212-637-3730  
Email: [arcaya.alyssa@epa.gov](mailto:arcaya.alyssa@epa.gov)

### **Hard Copy via Express Delivery (FedEx, UPS, DHL, USPS etc.)**

**Hard Copy Application Submission Deadline** All hard copies of proposal packages must be postmarked on or before April 23rd, 2012.

### **2. E-Mail Application Submission**

Please submit a complete application package via e-mail to [Region2\\_GrantApplicationBox@epa.gov](mailto:Region2_GrantApplicationBox@epa.gov) no later than 5:00 p.m. ET on April 23rd, 2012. **Attach all documents in Portable Data Format (PDF format).** The maximum size for file attachments accepted by EPA in a single e-mail is **15MB**; if necessary, divide the attachments into separate e-mails, and use the same subject line for each: "Funding Opportunity R2-DEPP-12-01, Your Project Title." Only current scanned PDF forms with signatures and associated documents will be accepted as valid applications. Documents submitted in other file formats will not be accepted, nor will be any outdated forms. Also, please note that the EPA mail server will automatically delete upon receipt any attachments that are zip-files, stuffit, .exe or similar compressed formats. This is being done to limit the distribution of computer viruses introduced into the EPA network.

### **3. Electronic Grants.gov Application Submission**

Your organization's authorized official representative (AOR) must submit your complete proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than **5:00 p.m. ET on April 23rd, 2012.**

The electronic submission of your application must be made by an authorized official representative (AOR) of your institution who is registered with Grants.gov. For more information, go to <http://www.grants.gov> and click on "Get Registered" on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, we encourage them to designate an AOR and ask that individual to begin the registration process as soon as possible.

**See Section VIII. F. of this announcement for additional Grants.gov instructions.**

### **C. Content of Application Package Submission**

All application submissions, regardless of mode of submission, must contain completed and signed grant application forms, as well as a Narrative Proposal, as described below.

**Grant Application Forms:** Please be sure to include the organization fax number and email address in Block 5 of the Standard Form SF 424. The forms are available at <http://www.epa.gov/ogd/AppKit/application.htm> and [www.grants.gov](http://www.grants.gov).

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- Grants.gov Lobbying Form
- EPA Key Contacts Form 5700-54
- EPA Form 4700-4 – Pre-award Compliance Review Report
- Narrative Proposal (as described below)
- Disclosure of Lobbying Activities (SF-LLL), if applicable
- Other Attachments Form – Negotiated Indirect Cost Rate Agreement, optional
- Other Attachments Form – Biographical Sketches for the Project Manager(s) and Technical Manager(s)
- Other Attachments Form – Quality Assurance Narrative Statement
- Other Attachments Form - Partnership Letters of Commitment, if applicable

**Narrative Proposal:** The Narrative Proposal (sections 1 and 2 below) cannot exceed a maximum of 10 consecutively numbered 8.5" x 11" pages, including the Summary Page, with 12-point, Times New Roman font and 1" margins.

Required application forms (e.g., SF-424, SF-424A, SF-424B, etc.), cover letter, description of programmatic resources and personnel, description of roles of project partners, list of previously awarded assistance agreements and supporting materials can be submitted as attachments and are not included in the 10 page limit.

### **1. Summary Information Page** (recommended not exceeding one page)

- a. Project Title

- b. Applicant Information. Include applicant (organization) name, address, contact person, phone number, fax and e-mail address.
- c. Funding Requested. Specify the amount you are requesting from EPA.
- d. Funding Opportunity Number (EPA-R2-DEPP-12-01)
- e. Total Project Cost. Specify total cost of the project. Identify funding from other sources, including cost share or in-kind resources.
- f. Project period. Provide beginning and ending dates. (Projects are anticipated to begin July 2011 and end no later than August 2012.)
- g. DUNS number-See Section VI.C.
- h. Brief abstract of the proposed project

## **2. Narrative Proposal Work-Plan**

The narrative proposal work-plan must explicitly describe how the proposed project meets the guidelines established in Sections I-III of this announcement (including the threshold eligibility criteria in Section III.C) and must address each of the evaluation criteria set forth in Section V.

**a. Project Workplan/Approach:** The workplan shall contain the following components:

- i. Detailed project description of specific actions and methods to be undertaken and the responsible institutions, including estimated time line for each task. These projects are either collecting and/or using environmental data; the applicant must include the development and approval of a Quality Assurance Project Plan. For information and guidance on Quality Assurance (QA) visit Region 2 QA <http://www.epa.gov/region2/qa/index.html> and see Section I.B and VIII.A.
- ii. Links to the applicable EPA Strategic Plan goal(s).
- iii. Description of the associated work products to be developed.
- iv. Explanation of project benefits to the public, and specifically the potential audience(s) served.
- v. Time schedule for the execution of the tasks associated with the project and for achieving the project goals and objectives by project end.
- vi. Description of the roles of the applicant and partners, if any, in achieving the stated goals of the project.
- vii. Description of the applicant's organization, technical capacity and other experience related to the proposed project.
- viii. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
- ix. Budget and estimated funding amounts for each work component/task
- x. Discussion of how the project promotes Environmental Justice concerns (see Section I.B.3).

## **b. Environmental Results—Outcomes, Outputs and Performance Measures**

Identify the expected quantitative and qualitative outcomes and outputs of the project. (See Section I.C.), including what performance measurements or other means will be used to track and measure your progress towards achieving the expected outcomes and outputs and how the results of the project will be evaluated.

### **c. Programmatic Capability and Past Performance**

Submit a list of federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and timely reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the application and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

### **d. Intergovernmental Review**

Applicants must comply with the Intergovernmental Review Process and/or consultation provisions of Section 204, Demonstration Cities and Metropolitan Development Act, if applicable, which are contained in 40 CFR Part 29. This program is eligible for coverage under Executive Order (EO) 12372, An Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her state for more information on that state's required process for applying for assistance if the state has selected the program for review. Single Points of Contact can be found at <http://www.whitehouse.gov/omb/grants/spoc.html>. Further information regarding this requirement will be provided if your proposal is selected for funding.

**3. Attachments.** The items below are required but are not included in the 10 page limit:

- **Biographical Sketch:** Provide resumes or curriculum vitae for all principal investigators, technical managers and staff and other key personnel.
- **Quality Assurance Narrative Statement:** Please see section VIII.A for more details.
- **Partnership Letters of Support:** Please see Section I.B.2 for more details.

### **D. Submission Dates and Times**

The closing date and time for receipt of application submissions, regardless of mode of submission, is April 23rd, 2012, 5:00 PM ET. Applications received or submitted after the closing date and time will not be considered for funding.

### **E. Contracts and Subawards**

**1. Can funding be used for the applicant to make subawards, acquire contract services, or fund partnerships?**

EPA awards funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to EPA for the proper expenditure of funds. Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the application solely based on the firm's role in preparing the application.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133, and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

## **2. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?**

Section V of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

- a. An applicant's named subawardees/subgrantees identified in the application if the applicant demonstrates in the application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for-profit firms or individual consultants.
- b. An applicant's named contractor(s), including consultants, identified in the application if the applicant demonstrates in its application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as

appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of named subawardees / subgrantees and/or named contractor(s) during the application evaluation process unless the applicant complies with these requirements.

#### **F. Confidential Business Information**

EPA recommends that you do not include confidential business information (“CBI”) in your application. However, if confidential business information is included, it will be treated in accordance with 40 CFR 2.203. Applicants must clearly indicate which portion(s) of their application they are claiming as CBI. EPA will evaluate such claims in accordance with 40 CFR Part 2. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. The Agency protects competitive applications from disclosure under applicable provisions of the Freedom of Information Act prior to the completion of the competitive selection process.

#### **G. Pre-Application Assistance and Communications**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft application packages, provide informal comments on draft narrative proposals, or provide advice and/or guidance to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications. However, EPA will respond to questions in writing from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the application, and requests for clarification about the announcement.

#### **H. Management Fees**

When formulating budgets for proposals/applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicants cognizant audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

### **V. APPLICATION REVIEW INFORMATION**



Only eligible entities whose application(s) meet the threshold criteria in Section III of this announcement will be reviewed according to the evaluation criteria set forth below. Applicants should explicitly address these criteria as part of their application package submittal. Each application will be rated under a point system, with a total of 100 points possible.

#### A. Evaluation Criteria

Criteria	Points
<p><b><u>1. Project Summary/Approach:</u></b> Under this criterion, the Agency will evaluate the following factors:</p> <p>(i) <b>(20 pts)</b> the extent and quality to which the narrative proposal includes a well-conceived strategy for addressing the requirements in <b>Section I, Parts B (Scope of Work) and C (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs)</b>,</p> <p>(ii) <b>(3 pts)</b> whether the narrative proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project and for achieving the project goals and objectives by project end.</p>	23
<p><b><u>2. Environmental Results—Outcomes, Outputs and Performance Measures:</u></b> Under this criterion, the Agency will evaluate the effectiveness of the applicant’s plan for tracking and measuring its progress toward achieving the expected project outputs and outcomes, including those identified in Section I of this announcement. In addition, the Agency will evaluate the performance measures proposed by the applicant and how they will be used to help track and measure the Applicants progress towards achieving the expected outputs and outcomes.</p>	12

<p><b><u>3. Programmatic Capability and Past Performance:</u></b> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <p><b>I. (5 pts)</b> past performance in successfully completing and managing the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement,</p> <p><b>II. (5 pts)</b> history of meeting the reporting requirements under the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not,</p> <p><b>III. (10 pts)</b> organizational experience and plan for timely and successfully achieving the objectives of the proposed project,</p> <p><b>IV. (10 pts)</b> staff expertise and qualifications (including technical expertise), staff knowledge, the organization's ability to host and sustain the project deliverables (or to partner with an organization that can), and resources (or the ability to obtain them) to successfully achieve the goals of the proposed project.</p> <p>Note: In evaluating applicants under items I and II of this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these sub-factors (items I and II above-a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.</p>	<b>30</b>
<p><b><u>4. Budget:</u></b> Under this criterion, the Agency will evaluate the proposed project budget to determine whether:</p> <p><b>I. (5 pts)</b> costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes,</p> <p><b>II. (5 pts)</b> the proposed budget provides a detailed breakout of the approximate funding used for each major activity. An applicant's budget and budget narrative must account for both federal funds and any nonfederal funds (e.g., any required or voluntary cost share/match if applicable). Applicants must precisely describe in their budget narrative how they will account for any required or voluntary cost share/match and what role EPA funding will play in the overall project.</p>	<b>10</b>

<p><b><u>5. Leveraging:</u></b> Under this criterion, applicants will be evaluated based on the extent they demonstrate that they will leverage additional funds/ resources, beyond the grant funds awarded, to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes but is not limited to funds and other resources leveraged from within the applicant's / co-applicant's / partner's organization(s), businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate.</p> <p>Applicants will also be evaluated based on the amount and type of leveraged resources to be provided, how they will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged funds/resources will play to support the proposed project activities.</p>	5
<p><b><u>6. Environmental Justice Impacts:</u></b> Under this criterion, the Agency will evaluate the extent to which the proposed project helps to promote addressing environmental justice issues and concerns (See Section I. B. 3.).</p> <p>Applications should address how the project will benefit the public, including minority, low income and tribal populations, and organizations, which may be adversely impacted by the Raritan River Basin's water pollution issues and that have an interest in utilizing the project data, study and priority site list.</p>	5
<p><b><u>7. Ensuring Accessibility:</u></b> Under this criterion, the application should demonstrate how individuals, communities and organizations with limited computer access, technical skills or education in science or environmental issues can access and use the project data.</p>	5
<p><b><u>8. Partnerships:</u></b> Under this criterion, the Agency will evaluate the extent to which the applicant has identified appropriate partners and the plans for working with those partners. The application should explain how the proposed partnerships will help the applicant effectively perform the project.</p>	10

## **B. Review and Selection Process**

Applications will first be evaluated against the threshold factors listed in Section III. Only those applications which meet all of the threshold criteria will be evaluated using the evaluation criteria listed above by an EPA evaluation team. Each application will be given a numerical score and will be rank-ordered according to the numerical score. The top ranked applications will be provided as funding recommendations to the Approving Official. Final funding decisions will be made by the Approving Official based on the rankings.

## **C. Unpaid Federal Tax Liabilities and Felony Convictions for Non-Profit and For-Profit Organizations**

Awards made under this announcement are subject to the provisions contained in the Department of Interior, Environment, and Related Agencies Appropriations Act, 2012, HR 2055, Division E, Sections 433 and 434 regarding unpaid federal tax liabilities and federal felony convictions.

These provisions prohibit EPA from awarding funds made available by the Act to any for-profit or non-profit organization: (1) subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; or (2) that was convicted (or had an officer or agent of such corporation acting on its behalf convicted) of a felony criminal conviction under any Federal law within 24 months preceding the award, unless EPA has considered suspension or debarment of the corporation, or such officer or agent, based on these tax liabilities or convictions, and determined that such action is not necessary to protect the Government's interests. **Non-profit organizations that are covered by these prohibitions are ineligible to receive an award under this announcement. For-profit organizations are subject to the provisions of the Act, however, as stated in Section III.A. of this RFA, for-profit organizations are not eligible to apply for funding under this announcement.**

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. Award Notices**

Following evaluation of applications, all applicants will be notified regarding their status. EPA expects to notify all applicants of their final status no later than June 1<sup>st</sup>, 2012.

### **Application Notifications**

1. EPA anticipates notification to the *successful* applicant will be made via telephone, email or postal mail. The notification will advise the applicant that its proposed project has been recommended for award. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance. This notification is **not** an authorization to begin performance. The award notice signed by the EPA Award Official is the authorizing document and will be provided through email. This process can take up to 90 days from the date of recommendation, or longer depending on the organization selected and other circumstances.

2. EPA anticipates notification to *unsuccessful* applicant(s) will be made via email or postal mail. The notification will be made to the original signer of the Standard Form (SF) 424, Application for Federal Assistance.

### **B. Administrative and National Policy Requirements**

A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at:

[http://www.epa.gov/ogd/AppKit/applicable\\_epa\\_regulations\\_and\\_description.htm](http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm).

### **C. Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS) Requirements**

Unless exempt from these requirements under OMB guidance at [2 CFR Part 25](#) (e.g., individuals), applicants must:

1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR information can be found at <https://www.bpn.gov/ccr/>

2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency, and
3. Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1- 866-705-5711, or visiting the D&B website at: <http://www.dnb.com>. If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

#### **D. Reporting Requirement**

Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final technical report shall discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA, after award.

#### **E. Exchange Network**

EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, tribes and territories exchanging data with each other or with EPA, should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at [www.exchangenetwork.net](http://www.exchangenetwork.net).

#### **F. Disputes**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www.epa.gov/ogd/competition/resolution.htm>. Copies of these procedures may also be requested by contacting Alyssa Arcaya at [arcaya.alyssa@epa.gov](mailto:arcaya.alyssa@epa.gov).

#### **G. Non-profit Administrative Capability**

Non-profit applicants that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards ([http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf)). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form, with supporting documents, contained in Appendix A of EPA Order 5700.8.

## **H. Subaward and Executive Compensation Reporting**

Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements, should they be selected for funding.

## **I. Use of Grant Funds**

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

## **J. Website References in Solicitation**

Any non-federal websites or website links included in this solicitation are provided for application preparation and/or informational purposes only. U.S. EPA does not endorse any of these entities or their services. In addition, EPA does not guarantee that any linked, external websites referenced in this solicitation comply with Section 508 (Accessibility Requirements) of the Rehabilitation Act.

## **VII. AGENCY CONTACTS**

For further information, contact:

U.S. Environmental Protection Agency  
ATTN: Alyssa Arcaya  
290 Broadway, 25<sup>th</sup> Floor  
New York, NY 10007  
arcaya.alyssa@epa.gov

All questions or comments must be communicated in writing via postal mail, fax or email to the contact person listed above by April 3<sup>rd</sup> 2012, 5:00 PM ET. Questions and comments will be addressed via conference call held on or around April 10<sup>th</sup> 2012. Call-in details will be shared with all applicants.

## **VIII. OTHER INFORMATION**

### **A. Quality Assurance/Quality Control (QA/QC)**

Quality Assurance/Quality Control requirements apply to this cooperative agreement (see 40 CFR 30.54 and 40 CFR 31.45). QA/QC requirements apply to the collection and use of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data include information collected directly from measurements, produced from models, and compiled from other sources such as databases or literature. The project involves the collection, compilation, analysis, or manipulation of environmental data; it therefore will require a Quality Assurance Project Plan (QAPP). No work by the grantee can begin before the QAPP is approved by quality assurance managers from EPA. The successful applicant may work with the EPA QA/QC staff to

determine the appropriate QA/QC practices for the project. See Section VII., AGENCY CONTACTS for Agency Contact information for referral to EPA QA/QC staff. Keep in mind that the preparation of a QAPP requires an additional level of planning, documentation and time. While preparing your budget and work plan, please account for the additional time and resources necessary for QAPP development. For more information about QAPPs, please visit <http://www.epa.gov/quality/qapps.html>.

## **B. Data Sharing**

EPA requires that the recipient of this cooperative agreement share any data generated or compiled through this funding agreement as a defined deliverable in the final workplan. Data must be made available to the public in a format that facilitates widespread access and understanding.

## **C. Data Access and Information Release**

EPA has the right to obtain, reproduce, publish, or otherwise use the data first produced under the award; and authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes, under 40 CFR 30.36(c). In addition, pursuant to 40 CFR 30.36(d), if EPA receives a Freedom of Information Act request for research data that (1) relates to published research findings produced under an EPA award and (2) was used by the Federal Government in developing an agency action that has the force and effect of law, then EPA shall request, and the award recipient shall provide, within a reasonable time, the research data so that it may be made available to the public through procedures established under the FOIA.

## **D. GIS Data**

Data produced under this project will adhere to the requirements of EPA's National Geospatial Data Policy (NGDP) (see [http://www.epa.gov/esd/gqc/pdf/epa\\_natl\\_geo\\_data\\_policy.pdf](http://www.epa.gov/esd/gqc/pdf/epa_natl_geo_data_policy.pdf)). This Policy applies to all EPA organizations, grantees, agents working on behalf of EPA, and partner states of EPA who design, develop directly or indirectly, compile, operate, or maintain EPA information collections developed for environmental program support. Refer to this policy for details on requirements for quality assurance project plans (QAPPs), geospatial data accuracy and geospatial metadata. Specifically, the grantee must provide documentation for all produced data, including source information for each digital data layer (i.e., scale and accuracy, map projection, coordinate system, etc.), and specific information about the data layer itself (i.e., method used, geographic extent of data layer, file format, date of creation, staff contact, description and definition of data fields and their contents, related files, if any, and description of data quality and quality assurance methods used). The EPA Metadata Editor (EME) was developed to simplify and standardize metadata development and is a recommended tool for streamlining production of the required metadata. The EME and related training materials can be downloaded from <https://edg.epa.gov/EME/>. Specific technical guidance on geospatial deliverables and acceptable formats can be found at <http://www.epa.gov/region02/gis/r2gisdeliverables.html>.

Data produced under this project will be submitted to the EPA Project Officer no later than 90 calendar days after the expiration or termination of the assistance agreement. Delivery can be in the form of physical media or as downloadable data.

## **E. Copyrights**

In accordance with 40 CFR 30.36 for institutions of higher education, hospitals, and other non-profit organizations, or 40 CFR 31.34 for other recipients, EPA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, for Federal Government purposes copyrighted works developed under a grant, subgrant or contract under a grant or subgrant. Examples of Federal purpose include but are not limited to: (1) Use by EPA and other Federal employees for official Government purposes; (2) Use by Federal contractors performing specific tasks for the Government; (3) Publication in EPA documents provided the document does not disclose trade secrets (e.g. software codes) and the work is properly attributed to the recipient through citation or otherwise; (4) Reproduction of documents for inclusion in Federal depositories; (5) Use by State, tribal and local governments that carry out delegated Federal environmental programs as “co-regulators” or act as official partners with EPA to carry out a national environmental program within their jurisdiction; (6) Limited use by other grantees to carry out Federal grants provided the use is consistent with the terms of EPA’s authorization to the grantee to use the copyrighted material.

## **F. Grants.gov Submission Instructions**

### **Grants.gov Application Instructions**

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov. For more information, go to <http://www.grants.gov> and click on “Get Registered” on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on the “Apply for Grants” tab on the left side of the page. Then click on “Apply Step 1: Download a Grant Application Package” to download the compatible Adobe viewer and obtain the application package. To apply through grants.gov you must use Adobe Reader applications and download the compatible Adobe Reader version (Adobe Reader applications are available to [download for free on the Grants.gov website](#). For more information on Adobe Reader please visit the [Help section](#) on grants.gov at <http://www.grants.gov/help/help.jsp> or [http://www.grants.gov/aboutgrants/program\\_status.jsp](http://www.grants.gov/aboutgrants/program_status.jsp)).

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-R2-DEPP-12-01, or CFDA 66.436, in the appropriate field. You may also be able to access the application package by clicking on the Application button at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

**Application Submission Deadline:** Your organization’s AOR must submit your complete application electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than April 23rd 2012, 5:00 PM ET. Please submit *all* of the application materials described below.



## **Application Materials**

**The following forms and documents are required under this announcement:**

1. Application for Federal Assistance (SF-424)
2. Budget Information for Non-Construction Programs (SF-424A)
3. Assurances for Non-Construction Programs (SF-424B)
4. Grants.gov Lobbying Form
5. EPA Key Contacts Form 5700-54
6. EPA Form 4700-4 – Pre-award Compliance Review Report
7. Narrative Proposal-prepared as described in Section IV.C of the RFA
8. Disclosure of Lobbying Activities (SF-LLL), if applicable
9. Other Attachments Form – Negotiated Indirect Cost Rate Agreement, optional
10. Other Attachments Form – Biographical Sketches for the Project Manager(s) and Technical Manager(s)
11. Other Attachments Form – Quality Assurance Narrative Statement
12. Other Attachments Form - Partnership letters of commitment, if applicable

The application package *must* include all of the following materials:

- **Standard Form (SF) 424, Application for Federal Assistance**  
Complete the form. There are no attachments. Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.
- **SF-424A, Budget Information for Non-Construction Programs**  
Complete the form. There are no attachments. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22. If indirect costs are requested, a copy of the Negotiated Indirect Cost Rate Agreement must be submitted as part of the application package. (See instructions for document 10 below.)
- **SF-424B, Assurances for Non-Construction Programs**  
Complete the form. There are no attachments.
- **Grants.gov Lobbying Form – Certification Regarding Lobbying**  
Complete the form. There are no attachments.
- **EPA Form 5700-54, Key Contacts Form**  
Complete the form. There are no attachments. If additional pages are needed, attach these additional pages to the electronic application package by using the “Other Attachments Form” in the “Optional Documents” box. (See Application Preparation and Submission Instructions below for more details.)

- **EPA Form 4700-4, Pre-Award Compliance Review Report**  
Complete the form. There are no attachments.
- **Narrative Proposal**  
Prepare as described in **Section IV.C** of the announcement.
- **SF-LLL, Disclosure of Lobbying Activities, if applicable**  
This form is required if your organization is involved in lobbying. Complete the form if your organization is involved in lobbying activities.
- **Other Attachments Form – Negotiated Indirect Cost Rate Agreement**  
Use if indirect costs are included in the project budget. Use the “Other Attachments Form” in the “Optional Documents” box to attach a copy of your organization’s Indirect Cost Rate Agreement, if applicable. (See Application Preparation and Submission Instructions below for more details.) You must submit a copy of your organization’s Indirect Cost Rate Agreement as part of the application package if your proposed budget includes indirect costs.
- **Other Attachments Form – Biographical Sketches for the Project Manager(s)**  
Use the “Other Attachments Form” in the “Optional Documents” box to attach a copy of the biographical sketch of each project manager for the proposed project. Include a biographical sketch and resume for the technical manager as well as other personnel responsible for data management. Each biographical sketch should outline the education, work history, and knowledge/expertise of the individual that relate to managing the proposed project.
- **Other Attachments Form – Quality Assurance Narrative Statement.** Use the “Other Attachments Form” in the “Optional Documents” box to attach a copy of a quality assurance narrative statement.
- **Other Attachments Form – Partnership Letters of Commitment**  
Use if a working partnership already exists or is under development. Use the “Other Attachments Form” in the “Optional Documents” box to attach a copy partnership letters of commitment, if applicable. (See Application Preparation and Submission Instructions below for more details.) Each letter should describe the extent to which the partner will engage with the applicant to help effectively perform the project.

## **Application Preparation and Submission Instructions**

**Documents 1 through 6** listed under Application Materials above should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

For documents 1 through 6, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to

Submission List.” This action will move the document over to the box that says, “Mandatory Completed Documents for Submission.”

**For document 7**, you will need to attach electronic files. Prepare your narrative proposal as described above and save the documents to your computer a PDF file. When you are ready to attach your proposal to the application package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename;” the filename should be no more than 40 characters long. If there are other attachments to submit to accompany your proposal, you may click “Add Optional Project Narrative File” and proceed as before. When you have finished attaching the necessary documents, click “Close Form.” When you return to the “Grant Application Package” page, select the “Project Narrative Attachment Form” and click “Move Form to Submission List.” The form should now appear in the box that says, “Mandatory Completed Documents for Submission.”

**Documents 8 through 12** are listed in the “Optional Documents” box, but *please note that these so-called “optional” documents must also be submitted as part of the application package, if applicable to your organization.* You are only required to submit document 8 – SF-LLL, Disclosure of Lobbying Activities – if your organization is involved in lobbying activities. You are required to submit document 9 – Negotiated Indirect Cost Rate Agreement – if you have included any indirect costs in your proposed budget. You must submit document 10 – Biographical Sketches for Project Manager(s). You must submit document 11 - Quality Assurance Narrative Statement. You must submit document 12 - Partnership letters of commitment if your application proposes work with partner organizations. To attach documents 8-12, use the “Other Attachments Form” in the “Optional Documents” box. After attaching the documents, please remember to highlight the “Other Attachments Form” and click “Move Form to Submission List” in order to move the documents to the box that says, “Optional Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY12 – Assoc Prog Supp – 1st Submission” or “Applicant Name – FY 12 Assoc Prog Supp– Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – FY12 Assoc Prog Supp – 2<sup>nd</sup> Submission.” Once your application package has been completed and saved, send it to your AOR for submission to EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov. In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY12), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that

appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp>. Applications submitted through grants.gov will be time and date stamped electronically.

## **G. Budget Sample**

### **Budget Detail**

This section of the work plan is a detailed description of the budget found in the SF-424A, and must include a detailed discussion of how EPA funds will be used. Applicants must itemize costs related to personnel, fringe benefits, travel, equipment, supplies, contractual costs, other direct costs, indirect costs, and total costs.

If the project budget includes any cost-share, the Budget Detail portion of the narrative proposal must include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. Any form of cost-share included in the Budget Detail must also be include on the SF 424 and SF 424A. Please see Section III.B if this RFP for more detailed information on cost-share.

Applicants should use the following instructions, budget object class descriptions, and example table to complete the Budget Detail section of the work plan.

- **Personnel - List all staff positions by title. Give annual salary, percentage of time assigned to the project, and total cost for the budget period.** This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost share, this should be included as Personnel costs. Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) costs for employees of subrecipients under subawards, which are included in the “Other” category; or (3) effort that is nor directly in support of the proposed project, which may be covered by the organization’s negotiated indirect cost rate. The budget detail must identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.
- **Fringe Benefits - Identify the percentage used, the basis for its computation, and the types of benefits included.** Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages.

Fringe benefits include, but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans.

- **Travel - Specify the mileage, per diem, estimated number of trips in-State and out-of-State, number of travelers, and other costs for each type of travel.** Travel may be integral to the purpose of the proposed project (e.g. inspections) or related to proposed project activities (e.g. attendance at meetings). Travel costs do not include: (1) costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) travel costs for employees of subrecipients under subawards, which are included in the “Other” category.
- **Equipment - Identify each item to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year.** Equipment also includes accessories necessary to make the equipment operational. Equipment does not include: (1) equipment planned to be leased/rented, including lease/purchase agreement; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the “Other” category. Items with a unit cost of less than \$5,000 should be categorized as supplies, pursuant to 40 CFR 31.3 and 30.2. The budget detail must include an itemized listing of all equipment proposed under the project
- **Supplies - “Supplies” means all tangible personal property other than “equipment”.** The budget detail should identify categories of supplies to be procured (e.g., laboratory supplies or office supplies). Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs should be included in the “Other” category.
- **Contractual - Identify each proposed contract and specify its purpose and estimated cost.** Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. Leased or rented goods (equipment or supplies) should be included in the “Other” category. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or non-competitive), if known. Please note that EPA may not accept sole source justifications for professional services (including individual consultants) that are readily available in the commercial marketplace unless the justification is based on a patent or copyright.
- **Other - List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost.** This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs. Subawards (e.g., subgrants) are a distinct type of cost under this category. The term “subaward” means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing,

loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category. Applicants must provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.

- **Indirect Charges - If indirect charges are budgeted, indicate the approved rate and base.** Indirect costs are those incurred by the grantee for a common or joint purpose that benefit more than one cost objective or project, and are not readily assignable to specific cost objectives or projects as a direct cost. In order for indirect costs to be allowable, the applicant must have a federal or state negotiated indirect cost rate (e.g., fixed, predetermined, final or provisional), or must have submitted an application to the cognizant Federal or State agency. Examples of Indirect Cost Rate calculations are shown below.
  - Personnel (Indirect Rate x Personnel = Indirect Costs)
  - Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)
  - Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
  - Direct Costs minus distorting or other factors such as contracts and equipment (Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

#### Example Budget Table

	EPA Funding	**Cost-Share
<b>Personnel</b>		
(1) Project Manager @ \$40/hr x 10 hrs/week x 52 wks	\$20,800	
(4) Project Staff @ \$25/hr x 10 hrs/week x 40 wks	\$40,000	
<b>TOTAL PERSONNEL</b>	<b>\$60,800</b>	
<b>Fringe Benefits</b>		
20% of Salary and Wages	20% (\$60,800)	
Retirement, Health Benefits, FICA, SUI		
<b>TOTAL FRINGE BENEFITS</b>	<b>\$12,160</b>	
<b>Travel</b>		
Travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.	\$3300	
<b>TOTAL TRAVEL</b>	<b>\$3300</b>	

<b>Equipment</b>	0	
TOTAL EQUIPMENT	0	
<b>Supplies</b>		
Office and related supplies to support education outreach	\$2,660	\$2,340
TOTAL SUPPLIES	<b>\$2,660</b>	<b>\$2,340</b>
<b>Contractual</b>		
Technical Support Services Contract	\$15,000	
TOTAL CONTRACTUAL	<b>\$15,000</b>	
<b>Other</b>		
TOTAL OTHER	\$0	
<b>Indirect Charges</b>		
Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs)	\$6,080	
TOTAL INDIRECT	<b>\$6,080</b>	
TOTAL FUNDING	\$100,000 (fed)	2,340 (non-fed)
<b>TOTAL PROJECT COST</b>	<b>\$102,340</b>	

### **Indirect Charges**

Federal Negotiated Indirect Cost Rate = 10%

\*\* Cost-Share funds, while not required under this RFA, must also be included on the SF-424A as detailed in Section III.B of this RFA.

Note on Management Fees: Please see section IV.H.